

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

First Inventor

James E. Chitwood

Title

High Power Umbilicals For Electric Flowline Immersion Heating ...

Express Mail Label No.

EU 832 621 144 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 167]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 48]
5. Oath or Declaration [Total Sheets 6]
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
name in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ Paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☐ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: 1. Certificate of Deposit
2. Return Receipt Post Card

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation☐ Divisional☒ Continuation-in-part (CIP)of prior application No.: 10/223,025

Prior application information:

Examiner Giovanna M. CollinsArt Unit: 3672

For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS



Customer Number:



OR



Correspondence address below

Name

William Banning Vail III

24245

Address

3123 - 198th Place S.E.

PATENT TRADEMARK OFFICE

City

Bothell

State

WA

Zip Code

98012

Country

U.S.A.

Telephone

425-486-8789

Fax

425-482-2013

Name (Print/Type)

William Banning Vail III

Registration No. (Attorney/Agent)

Signature

Date

12/4/2003

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 514.00

Complete if Known

Application Number
Filing Date
First Named Inventor James E. Chitwood
Examiner Name
Art Unit
Attorney Docket No.

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit
Account
Number
Deposit
Account
Name

50-0499

Vails Inventions

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	385.00
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ 385.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below	Fee Paid
Total Claims	6	-20** =	0	X 9.00	= 0.00
Independent Claims	6	-3** =	3	X 43.00	= 129.00
Multiple Dependent					

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 129.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$

SUBMITTED BY

(Complete if applicable)

Name (Print/Type) William Banning Vail III Registration No. Telephone 425-486-8789
Signature William Banning Vail III (Attorney/Agent) Date 12/4/2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Rig-2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Certificate of Deposit by "Express Mail"

Express Mail Number: EU 832 621 144 US

Date of Deposit: December 4, 2003

I hereby certify that this paper or fee is being deposited with the United States Postal Service using "Express Mail Post Office to Addressee" Service under 37 CFR § 1.10 on the date indicated above and is addressed to the "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450."

Signed: Marilyn L. Vail
Marilyn L. Vail

TYPE OF DOCUMENT: Utility Patent Application entitled:

**" HIGH POWER UMBILICALS FOR ELECTRIC FLOWLINE IMMERSION
HEATING OF PRODUCED HYDROCARBONS "**

1 IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2
3 Certificate of Deposit by "Express Mail"

4 Express Mail Number: EU 832 621 144 US

5 Date of Deposit: December 4, 2003

6 I hereby certify that this paper or fee is being
7 deposited with the United States Postal Service using
8 "Express Mail Post Office to Addressee" Service under
9 37 CFR § 1.10 on the date indicated above and is
10 addressed to the "Mail Stop Patent Application, Commissioner
11 for Patents, P.O. Box 1450, Alexandria, VA 22313-1450."

12
13 Signed: Marilyn L. Vail

14 Marilyn L. Vail
15
16

17 TRANSMITTAL LETTER FOR PATENT APPLICATION WITH REMARKS

18
19 December 4, 2003
20

21 Commissioner for Patents
22 P.O. Box 1450
23 Alexandria, VA 22313-1450
24

25
26 Dear Sir:
27

28 Please file the following enclosed patent application
29 papers:
30

31 FIRST NAMED INVENTOR: JAMES E. CHITWOOD
32

33 SECOND NAMED INVENTOR: WILLIAM BANNING VAIL III

TRANSMITTAL LETTER WITH
REMARKS FOR PATENT APPLICATION
ENTITLED "HIGH POWER UMBILICALS
FOR ELECTRIC FLOWLINE IMMERSION
HEATING OF PRODUCED HYDROCARBONS"

1 **TITLE:** "HIGH POWER UMBILICALS FOR ELECTRIC FLOWLINE
2 IMMERSION HEATING OF PRODUCED HYDROCARBONS"
3

4 **TYPE APPLICATION:** C.I.P. APPLICATION OF U.S. PATENT
5 APPLICATION SERIAL NO. 10/223,025
6

7 **PAGES OF SPECIFICATION, CLAIMS, ABSTRACT:** 167
8

9 **SHEETS OF FORMAL DRAWINGS:** 48
10

11 **NUMBER OF INDEPENDENT CLAIMS:** 6
12

13 **NUMBER OF DEPENDENT CLAIMS:** 0
14

15 **TOTAL NUMBER OF CLAIMS:** 6
16

17 **PRIORITY CLAIMED:** SEE DECLARATION, FORM PTO/SB/01
18 and FORM PTO/SB/02A
19

20
21 **ADDITIONAL DOCUMENTS ACCOMPANYING**

22 **THIS TRANSMITTAL LETTER:**
23

- 24 1. Utility Patent Application Transmittal Form PTO/SB/05
25
26 2. Declaration for Utility or Design Patent
27 Application Form PTO/SB/01 and Form PTO/SB/02A
28 (a total of 6 sheets)
29
30 3. Fee Transmittal FY 2004 Form PTO/SB/17
31
32 4. Vail's Inventions Check No. 8598 in the amount
33 of \$514.00

TRANSMITTAL LETTER WITH
REMARKS FOR PATENT APPLICATION
ENTITLED "HIGH POWER UMBILICALS
FOR ELECTRIC FLOWLINE IMMERSION
HEATING OF PRODUCED HYDROCARBONS"

5. Self-addressed stamped receipt postcard

6. Separate Certificate of Deposit by "Express Mail"

PAYMENT OF FEES:

Vail's Inventions Check No. 8598 in the amount of five hundred fourteen dollars (\$514.00) is included herein to pay for the following fees:

(a)	Basic patent fee for Small Entity	\$ 385.00
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(b) Fee for Independent Claims in
Excess of three which
is 3 x \$43.00 \$ 129.00

(b) Fee for total claims in excess of \$ 0.00
20 which is 0 x \$9.00

Total	\$ 514.00
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However, if the applicant has made a mistake on the payment of any fees herein, applicant requests that any such deficiencies be billed to Account No. 50-0499 that was established on 3/20/1998. Fees on patents and patent applications entirely owned, or owned in part, by William Banning Vail III may be made from this account. William Banning Vail III is doing business as an inventor under the name of "Vail's Inventions". Marilyn L. Vail, the wife of

TRANSMITTAL LETTER WITH
REMARKS FOR PATENT APPLICATION
ENTITLED "HIGH POWER UMBILICALS
FOR ELECTRIC FLOWLINE IMMERSION
HEATING OF PRODUCED HYDROCARBONS"

1 William Banning Vail III, may also direct that fees be paid
2 from this Account No. 50-0499. If for unforeseen reasons
3 funds are not available in that account, please let applicant
4 know as soon as possible and said deficiencies will be paid
5 immediately. In the event of overpayment of any fees herein,
6 applicant respectfully requests that any overpayment be
7 deposited into Account No. 50-0499.

8
9
10 **STATEMENT OF PRIOR ART:**

11
12 Applicant is unaware of any additional relevant art in
13 the field other than that stated in the specification.
14

15
16 **STATEMENT OF SMALL ENTITY STATUS:** Applicant hereby certifies
17 that this application is entitled to be filed under a "Small
18 Entity Status".
19

20
21 **REMARKS:**

22
23 It is noted by the inventor that the Certificate of
24 Deposit by "Express Mail" is being used. Therefore, the
25 filing date of the application is that date when the
26 application is mailed (December 4, 2003).
27

28 No foreign applications have been filed by applicant
29 related to this application. However, a PCT application will
30 be filed shortly related to this application that will be
31 filed on, or before, December 8, 2003.
32

33 Formal drawings are submitted herein.

TRANSMITTAL LETTER WITH
REMARKS FOR PATENT APPLICATION
ENTITLED "HIGH POWER UMBILICALS
FOR ELECTRIC FLOWLINE IMMERSION
HEATING OF PRODUCED HYDROCARBONS"

Although the First Inventor is Mr. James E. Chitwood, it has been decided that the Second Named Inventor, myself, William Banning Vail III, shall be responsible for all correspondence to, and from, the USPTO.

Pro-Se Case

This case herein is a pro-se case. Therefore, in the event that the USPTO objects to any, or all of the claims herein, applicant respectfully requests assistance from the Examiner under MPEP Section 707.07(j) to draft an acceptable claim based upon the disclosure and language in the application.

Further, in the event that the Examiner rejects the claims, applicant requests that Examiner direct applicant to the claims closest to allowability, and if possible, applicant further requests that Examiner preliminarily mark-up one of said claims in a future office action to further aid applicant to achieve allowability of at least one claim in an expeditious fashion.

DECLARATION:

As applicant, I hereby verify that all statements made herein of my own knowledge are true and that all statements made on my information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that

TRANSMITTAL LETTER WITH
REMARKS FOR PATENT APPLICATION
ENTITLED "HIGH POWER UMBILICALS
FOR ELECTRIC FLOWLINE IMMERSION
HEATING OF PRODUCED HYDROCARBONS"

1 such wilful false statements may jeopardize the validity of
2 the application or any patent issuing thereon.

3
4 This application is filed pro-se. The applicant is
5 using the book entitled "Patent It Yourself", Ninth Edition,
6 by David Pressman, and if there are errors, please advise the
7 inventor, and such errors will be corrected immediately.

8
9
10 Please address all correspondence involving this case to
11 the co-inventor at the below defined address. Thank you.

12
13
14 Very respectfully submitted,

15
16
17
18 

12/7/2003
Date

19 William Banning Vail III
20 Second Named Inventor and
21 President of Smart Drilling and Completion, Inc.
22 3123 - 198th Place S.E.
23 Bothell, Washington 98012
24 Home Telephone: (425) 486-8789
25 Home Fax: (425) 482-2013

26
27
28
29 (Note: This is the signature page of the document entitled
30 "TRANSMITTAL LETTER FOR PATENT APPLICATION WITH REMARKS" for
31 the U.S. Patent Application entitled "HIGH POWER UMBILICALS
32 FOR ELECTRIC FLOWLINE IMMERSION HEATING OF PRODUCED
33 HYDROCARBONS".)

TRANSMITTAL LETTER WITH
REMARKS FOR PATENT APPLICATION
ENTITLED "HIGH POWER UMBILICALS
FOR ELECTRIC FLOWLINE IMMERSION
HEATING OF PRODUCED HYDROCARBONS"